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Triennial review of the implementation of the recommendations made by the Committee for Programme and Coordination at its thirty-fifth session on the evaluation of peacekeeping operations: start-up phase

Note by the Secretary-General

In conformity with paragraph 5 (e) (i) of General Assembly resolution 48/218 B of 29 July 1994, the Secretary-General has the honour to transmit the attached report of the Office of Internal Oversight Services entitled "Triennial review of the implementation of the recommendations made by the Committee for Programme and Coordination at its thirty-fifth session on the evaluation of peacekeeping operations: start-up phase", dated 13 March 1998. The report has been reviewed by the relevant departments and offices; the Secretary-General takes note of the findings in the report and concurs with its recommendations.

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Triennial review of the implementation of the recommendations made by the Committee for Programme and Coordination at its thirty-fifth session on the evaluation of peacekeeping operations: start-up phase

Report of the Office of Internal Oversight Services

Summary

The present report is submitted in accordance with the decision taken by the Committee for Programme and Coordination at its twenty-second session to review the implementation of its recommendations three years after taking decisions on an in-depth evaluation.

The Department of Peacekeeping Operations has made a concerted effort to follow through on the recommendations of the Committee. Significant progress is reported in connection with the development of a capacity to derive lessons from experience and of a ready capacity to act for the civilian police, information, planning, procurement and training functions. Recommendations are made on the Department's Resource Centre; translating the lessons of experience into practice; the designation of responsibility centres; and certain aspects of the information, military and financial functions.

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I. Introduction

1. The Committee for Programme and Coordination, at its thirty-third session, recommended to the General Assembly that the start-up phase of peacekeeping operations be the subject of an in-depth evaluation and that the final report be presented to the Committee in 1995.[1] A progress report on the subject (E/AC.51/1994/3 and Corr.1) was submitted to the Committee in 1994. The General Assembly, in its resolution 49/37 of 9 December 1994, took note of the progress report and expressed its belief that a continuing process of in-depth evaluation of various phases and aspects of peacekeeping operations was important to the deliberations on improving the capacity of the United Nations for peacekeeping. The final report on the start-up phase of peacekeeping operations (E/AC.51/1995/2 and Corr.1) was reviewed by the Committee in 1995.

2. The progress report focused on prerequisites of learning from experience with United Nations peacekeeping operations and on the status of a ready capacity to act for the information, electoral assistance, repatriation, human rights, civilian police and military functions. The final report, in conformity with a decision of the Committee at its thirty-fourth session,[2] examined overall direction and coordination, the humanitarian and civil administration aspects of peacekeeping and six support functions, namely, planning, financing, staffing, logistics, procurement and training.

3. Reviews of progress in implementing the recommendations made in the progress report were included in the final report on the start-up phase (E/AC.51/1995/2 and Corr.1, paras. 16-32) and, a year later, in the evaluation report on the termination phase (E/AC.51/1996/3 and Corr.1, paras. 5-12). Recommendation 5 of the latter report proposed that:

> "The triennial review ... should consist of an assessment of implementation of the recommendations in the progress report (E/AC.51/1994/3 [and Corr.1]), [and] the related recommendations in the final report (E/AC.51/1995/2 [and Corr.1]) and the [termination phase] report [E/AC.51/1996/3 and Corr.1]."

The present report takes as its reference the recommendations in the final report on the start-up phase, supplemented as needed by information on the related recommendations in the other two reports. All recommendations were endorsed by the Committee without modification, unless otherwise noted.

II. Findings

A. Learning from experience

1. Formulating the lessons of experience

Recommendation 1, Responsibility for learning from experience in peacekeeping. The Department of Peacekeeping Operations should adopt policies on end-of-mission assessments, exit interviews, debriefings, mid-mission assessments and mission records, and establish a documentation centre, as proposed in recommendations 1, 3 and 4 of the progress report, and seek the additional resources needed to implement them. The Dag Hammarskjöld Library should implement those aspects of recommendations 4 and 5 of the progress report under its responsibility. The Archives and Records Management Section should continue to develop those aspects of recommendation 5 under its responsibility.

The evaluation report on the termination phase (E/AC.51/1996/3 and Corr.1) contained the following related recommendation:

Headquarters documentation services. The documentation centre proposed in recommendation 4 of the progress report (E/AC.51/1994/3 and Corr.1) should be established, and should inform all missions of its holdings and the hard-copy and electronic services it is in a position to provide, by 30 September 1996. The holdings should be indexed (with the assistance of the Dag Hammarskjöld Library) at the level of detail needed to be useful to missions. Whenever possible, an on-line computer link should be established with headquarters, so that field offices can access information from other peacekeeping missions directly.

4. A Lessons Learned Unit was established in the Department of Peacekeeping Operations in April 1995 in response to recommendations 1 to 4 of the progress report and recommendation 1 of the final report. The objectives of the Unit are to derive lessons from peacekeeping operations and recommend their application to improve the planning, management, conduct and support of ongoing and future operations, and to develop institutional memory on peacekeeping. A report on the Unit, covering functions and methodology, completed activities, the programme of work through the end of 1998 and resource requirements, was submitted to the General Assembly in August 1997 (A/51/965). The Unit was still not funded on a stable basis

as at the end of 1997 (see A/C.5/51/SR.73 and General Assembly resolution 51/239 B).

5. Studies are conducted in close cooperation with mission personnel, troop-contributing countries, the Secretariat, regional and intergovernmental organizations, specialized agencies and non-governmental organizations. The Unit has developed a comprehensive methodology for its studies, involving the following steps:

(a) Studying available documents and reports on the operation;

(b) Interviewing Department desk officers;

(c) Interviewing relevant officials from other departments and specialized agencies;

(d) Requesting assessments from troop-contributing countries;

(e) Interviewing political and military officials of relevant permanent missions;

(f) Debriefing senior mission officials;

(g) Circulating a questionnaire to mission officials for feedback;

(h) Undertaking field visits;

(i) Consulting external experts on the operation;

(j) Holding internal consultations within the United Nations system;

(k) Holding comprehensive workshops and seminars with troop-contributing countries, United Nations and mission officials, specialized agencies, non-governmental organizations and experts;

(l) Publishing lessons learned report.

6. In terms of its major functions, the Unit had completed, as at the end of 1997, the following:

(a) *Mission-specific analysis*. Comprehensive reports on lessons learned from United Nations operations in Somalia (United Nations Operation in Somalia (UNOSOM)) and Rwanda (United Nations Assistance Mission for Rwanda (UNAMIR)), a mid-mission assessment of the United Nations Mission in Haiti (UNMIH) and an interim report on lessons learned from the United Nations Angola Verification Mission (UNAVEM). The Unit has also published a study entitled "Multidisciplinary peacekeeping: lessons from recent experience";

(b) *Function-oriented analysis*. Analysis of important aspects common to most peacekeeping operations: seminar on public information in field operations (in cooperation with the Department of Public Information);

(c) *Monitoring implementation of lessons learned*. While implementation remains the responsibility of the concerned department, agency or unit, the Lessons Learned Unit monitors implementation by publishing an annual status report;

(d) *Special projects and studies*. A study on lessons learned from cooperation between the United Nations and regional organizations in peacekeeping operations: cooperation between the United Nations and the Economic Community of West African States (ECOWAS).

7. The Lessons Learned Unit has established a Resource Centre, with a selection of documents pertaining to peacekeeping operations in both electronic and hard copy. Mission-specific documents, such as end-of-mission reports, reconnaissance or fact-finding mission reports, technical survey mission reports, rules of engagement, guidelines for troop-contributing countries, status of forces and mission agreements, mission standard operating procedures and other policy documents, are being collected for each mission. The Resource Centre has a home page on the Internet; however, missions are not connected to it as a matter of standard policy; missions are connected to the Resource Centre only if they individually subscribe to a commercial Internet server.

8. The Resource Centre now contains most mission standard operating procedures and similar material for the United Nations Protection Force (UNPROFOR), UNAMIR and UNOSOM, but they are not yet fully indexed. This means that what has been collected is still not known or available to the missions in the field. There is no departmental policy directive to assist the Resource Centre collect and disseminate mission-specific documents such as standard operating procedures and other documents of a similar nature that record the practical experience of the mission. Consequently, the problem described in the progress report of 1994 (E/AC.51/1994/3 and Corr.1, para. 10 and recommendation 4) has still not been properly addressed. This in turn gives rise to the problem described in the following statement from the end-of-mission assessment of the United Nations Operation in Mozambique (ONUMOZ), which was quoted two years ago in the in-depth evaluation report on the termination phase (E/AC.51/1996/3 and Corr.1, para.9):

> "ONUMOZ staff ... were unable to obtain any reference documents from United Nations Headquarters or other missions with regard to procedures applied in other peacekeeping missions on

such important issues as demobilization, ceasefire monitoring, storage and safe-keeping of arms, investigations into violations of the agreement etc. ... It is deemed invaluable that a centralized archive for such purposes is established at United Nations Headquarters."

Such an archive should be created, indexed and made available to missions on a Department of Peacekeeping Operations intranet site as soon as possible.

9. Missions in Cambodia, El Salvador, Mozambique, Rwanda and Somalia have transferred their records to the Archives and Records Management Section of the Department of Management within a year or so of liquidation. As a beginning of the move from a registry to a records management system, the Section issued a mission records retention schedule in 1994 to help field missions organize, access and dispose of their files efficiently. Since then, the Section has made a number of proposals to the Department of Peacekeeping Operations to further the move to a records management system, but these have not yet been accepted. The Dag Hammarskjöld Library will cooperate with the Section to assist in the identification of interested academic depository libraries that are ready to expand their peacekeeping materials and become focused on peacekeeping research.

2. Translating lessons of experience into practice

The evaluation report on the termination phase (E/AC.51/1996/3 and Corr.1) contained the following recommendation, reproduced in the modified form adopted by the Committee for Programme and Coordination at its thirty-sixth session:[3]

Translating the lessons of experience into practice. For each of the major substantive tasks of peacekeeping missions, the Lessons Learned Unit and the responsibility centre associated with the component or task should: (a) review the relevant parts of end-of-mission assessments and lessons learned documents and related materials, in consultation with the appropriate organizations of the United Nations system, and derive policies and procedures from them or modify existing policies and procedures, and present them for consideration and approval, as appropriate, to the relevant intergovernmental bodies, including the Special Committee on Peacekeeping Operations; (b) issue the results of this process by June 1997.

10. As indicated in the preceding paragraphs, procedures are now in place under which experience with the major tasks of peacekeeping operations is examined, and lessons derived. Manuals, guidelines and directives have been issued or are in preparation covering general policy and codes of conduct, as well as the specific work of military observers, civilian police officers, demining, field administration and logistics, mission planning, medical support and information. Some of these documents are referred to in the relevant sections below. However, in the absence of a systematic collection or review of mission standard operating procedures, discussed in paragraph 8 above, it is not clear to what extent the lessons learned reports, manuals, guidelines and directives reflect lessons derived from experience at the level of precision needed to be of practical value in the field.

11. With respect to end-of-mission assessments, debriefings and exit interviews, the Office of Internal Oversight Services was informed by the Department of Peacekeeping Operations that all Special Representatives of the Secretary-General and Force Commanders of peacekeeping missions are now required to submit written end-of-assignment reports. These reports are to be submitted at least two weeks prior to the arrival of the Special Representatives of the Secretary-General and the Force Commanders at United Nations Headquarters for debriefing, so that issues raised in them can be discussed at the appropriate level. Heads of components of peacekeeping missions are also required to submit end-of-assignment reports. Structured debriefings or discussions are held whenever senior mission staff visit United Nations Headquarters at the end of their tour or for consultations. Where applicable, officials from other relevant departments are also invited to attend debriefings. A meeting of troop-contributing countries is also normally held whenever Special Representatives of the Secretary-General and Force Commanders visit Headquarters. The Training Unit of the Department of Peacekeeping Operations participates in all debriefings of chiefs of missions as part of the end-of-mission assessments. Training issues are reviewed and incorporated in subsequent training documentation and policy.

3. Allocations of responsibility

Recommendation 2, Allocation of responsibilities for support functions for peacekeeping. By the end of 1995, revised Secretary-General's bulletins for all affected units in the Department of Administration and Management and the Department of Peacekeeping Operations should be issued showing the support functions for peacekeeping assigned to these units. In the bulletins for these two departments, all

administrative responsibilities listed in annex II to the progress report (E/AC.51/1994/3 and Corr.1) should be explicitly assigned for each support function.

Recommendation 3, Responsibility for the coordination of a ready capacity to act for peacekeeping operations. Such responsibility has been assigned, within the Department of Peacekeeping Operations, to the Assistant Secretary-General for Planning and Support. This responsibility should extend to the coordination of readiness activities related to peacekeeping under the responsibility of departments and offices outside the Department of Peacekeeping Operations. The concept of standby arrangements should, to the extent possible, govern the development and maintenance of operational aspects of a ready capacity to act for all substantive components and support functions.

The evaluation report on the termination phase (E/AC.51/1996/3 and Corr.1) contained the following related recommendation, reproduced as adopted by the Committee for Programme and Coordination, which endorsed the recommendation "on the understanding that that was an endorsement of the general principle of designation of responsibility centres and did not imply that the Department of Peacekeeping Operations had responsibility for any functions beyond those in its mandate":[3]

Designation of responsibility centres. The Secretary-General should designate appropriate responsibility centres, with the functions listed in annex II to the progress report (E/AC.51/1994/3 and Corr.1) for work on demobilization, resettlement and reintegration of uprooted populations and any other major substantive tasks of peacekeeping missions for which such centres have not yet been designated.

12. In recent experience, some peacekeeping operations have been mandated to include different combinations of the following tasks: monitoring ceasefires and buffer zones, protecting humanitarian convoys, disarming and demobilizing ex-combatants, reforming military establishments, defining and establishing police forces, organizing or monitoring elections, monitoring human rights, promoting electoral and judicial reform, promoting aspects of civil administration and coordinating economic rehabilitation.[4]

13. The latest Secretary-General's bulletin for the Department of Peacekeeping Operations is dated 22 March 1995; revision is considered premature pending the results of the phase-out of gratis personnel. The Department assumed responsibility for the Organization's demining activities in October 1997.

B. Status of ready capacity to act: substantive functions

1. Information

Recommendation 4, The information component of peacekeeping missions. A unit should be established in the Department of Peacekeeping Operations with responsibility for the support of the information components of peacekeeping missions in the field, as proposed in recommendation 6 of the progress report (E/AC.51/1994/3 and Corr.1). The Department of Peacekeeping Operations and the Department of Public Information should, by the end of 1995, agree on a division of responsibilities related to all activities proposed in recommendations 7 to 10 of the progress report [on, respectively, doctrine, mission-oriented media outreach, a roster of trained potential spokespersons for missions and standard operating procedures] and should have begun implementation of those activities.

14. The Committee for Programme and Coordination was informed that the Secretary-General was not in favour of the recommendation and had assigned responsibility for the information component to the Department of Public Information.[5] In its conclusions and recommendations, the Committee recognized the importance of information in peacekeeping operations and recommended that the Secretary-General take all necessary measures to provide adequate support to that area.[6]

15. The Department of Public Information considers the Department as a whole as a "responsibility centre" for public information in peacekeeping. The Peace and Security Section of the Department was designated as the focal point for liaison and coordination with the Department of Peacekeeping Operations, as well as with the Department of Political Affairs and the Department of Humanitarian Affairs, where field-based information components are concerned. The Section has assumed this role in addition to its established programme of publications, Internet postings and other outputs.

16. In 1997, provisional guidelines for public information components in the United Nations peacekeeping and other field missions were endorsed by the interdepartmental working group on the subject and were circulated to Special Representatives of the Secretary-General, Force

Commanders and heads of mission for implementation. An earlier draft of the guidelines, prepared by the Department of Public Information in consultation with the Department of Peacekeeping Operations, had been revised in the light of comments by current and former information staff of peacekeeping missions at a two-day seminar organized jointly by the Lessons Learned Unit of the Department of Peacekeeping Operations and the Peace and Security Section of the Department of Public Information.

17. An informal roster of approximately 150 potential public information personnel for mission assignment is kept by the Peace and Security Section. Sets of questionnaires were prepared by the Department of Public Information in 1995 for use by the Field Administration and Logistics Division of the Department of Peacekeeping Operations in screening potential candidates for posts as Director of Information/Chief Information Officer, Spokesperson, Information Officer, Broadcast Officer, Information Assistant and Television/Radio Assistant. The Peace and Security Section of the Department of Public Information and the Field Administration and Logistics Division of the Department of Peacekeeping Operations consult regarding potential candidates and vacancies to be filled; the Field Administration and Logistics Division asks the Department of Public Information to review candidates or to suggest possible appointees from the roster. The roster could be strengthened by more systematic updating and active "headhunting".

18. Staff of the Department of Public Information have undertaken short-term mission assignments to help in the planning for radio broadcasting and television production in Eastern Slavonia, and have conducted a technical survey and provided a producer for United Nations Radio programming in Liberia. The Department of Public Information has also provided radio and television programming and other information and backstopping support to field missions as requested by the Department of Peacekeeping Operations.

19. The Secretariat has made progress in developing standards for public information in the field. Limited progress has been made in putting these standards into practice on a full and regular basis. The Department of Peacekeeping Operations and the Department of Public Information have agreed that the Department of Public Information should be involved in planning from the outset. Although survey missions to Burundi and the Central African Republic and, eventually, to Western Sahara included an information officer of the Department of Public Information, reconnaissance missions to Sierra Leone and the Congo did not. Public information requirements still remain undeveloped in the concept of operations for many new or expanded missions. Start-up kits for the information component have not yet been developed. As at the end of 1997, there was no policy on providing field operations with access to the Internet or on home pages for field missions.

2. Electoral assistance and repatriation

20. The responsibility centres for these functions are the Electoral Assistance Unit of the Department of Political Affairs and the Office of the United Nations High Commissioner for Refugees (UNHCR), respectively. The evaluation found that an adequate ready capacity to act existed for these functions. The work of UNHCR was the subject of an in-depth evaluation report to the Committee for Programme and Coordination in 1993 and a triennial review of implementation in 1996. The Electoral Assistance Unit will be the subject of an in-depth evaluation report to the Committee at its thirty-ninth session, in 1999.

3. Human rights

Recommendation 5, Human rights component. The Centre for Human Rights should be designated the responsibility centre for the human rights component of peacekeeping missions and should begin implementation of the associated functions [such as standard operating procedures], as proposed in recommendation 12 of the progress report (E/AC.51/1994/3 and Corr.1).

21. At its thirty-fifth session, the Committee for Programme and Coordination concluded that the recommendation needed to be examined further by the relevant intergovernmental bodies.[7] The Committee may wish to reconsider the recommendation in the context of recommendation 3 of the present report or during its discussion in 1999 of the triennial review of the evaluation of the termination phase.

22. An inspection by the Office of Internal Oversight Services of the Centre for Human Rights was conducted in 1995 (A/49/892). A follow-up review, conducted in April 1997, concluded that, as far as the administration of the Centre was concerned, there did remain weaknesses in addressing the requirements of an increased workload arising from the Centre's involvement in field operations (A/52/426, para. 56).

4. Civilian police component

Recommendation 6, Civilian police component. The Department of Peacekeeping Operations should

continue implementation of recommendations 13 to 18 [on designation of a responsibility centre, development of doctrine, police experts on survey missions, policy on civilian police monitors, standby arrangements for civilian police and repatriation of unqualified civilian police monitors] of the progress report (E/AC.51/1994/3 and Corr.1).

23. Guidelines on selection, testing and early repatriation of civilian police officers have been developed based on an assessment of previous mission experience and input offered by Member States, which cover each of the areas recommended in the progress report, namely, (a) skills, including driving, languages, etc.; (b) minimum police experience; (c) rotation period; and (d) inclusion of women in civilian police contingents. Standard administrative and operational procedures for United Nations civilian police are being drafted.

24. The Selection Assistance Team programme, through which the United Nations dispatches experienced monitors from field missions and a representative from Headquarters to police-contributing Member States, can assist in language and driving-skills testing, and in developing in-country pre-deployment training facilities. Minimum experience levels have been set for each mission, which reflect the complexity of the mandate and the living conditions within the country. Duty tours are now limited to a one-year duration. In its communications to police-contributing Member States, the Secretariat regularly indicates the importance of including female monitors in civilian police components.

25. The Department of Peacekeeping Operations has adopted and implemented a policy of including a civilian police expert on all technical survey teams where a civilian police component is contemplated.

26. Efforts continue to broaden the base of civilian police availability through the standby arrangements system.

27. Regarding the repatriation of unqualified civilian police monitors, the recommendation in the progress report is being implemented routinely in United Nations missions with a civilian police component. Monitors are tested upon their arrival in the mission area, and are repatriated if they fail to meet the established criteria, with repatriation expenses and travel costs of a replacement being borne by the police contributor. However, the Selection Assistance Team programme has significantly reduced the incidence of such repatriation.

5. Military component

Recommendation 7, Military component. The Department of Peacekeeping Operations should continue implementation of recommendations 19 to 22 [on development of doctrine, standby forces, standard operating procedures and a peacekeeping information network] of the progress report (E/AC.51/1994/3 and Corr.1).

Recommendation 8, Planning for standby arrangements. The comprehensive report on standby arrangements requested by the Security Council should be drafted in conjunction with the plan for rapid reaction capacity proposed in recommendation 14 below. Requirements for standby capacity should be consistent with the objectives and strategy of this plan.

28. A number of doctrinal publications have been developed in concert with Member States. The United Nations General Guidelines for Peacekeeping, for example, elaborates on principles and practices, draws on cumulative experience and gives guidance to Governments contributing military or civilian personnel. However, the Guideline Standard Operating Procedures for Peacekeeping Operations have not been updated since 1991, during which time peacekeeping has continued to change dramatically. To update the standard operating procedures in a comprehensive and authoritative manner would require considerable staff time by experienced professionals. The Department stated to the Office of Internal Oversight Services that it has continued to operate on a resource base that is well below optimal staffing levels and, in those circumstances, has not been able to produce a new set of Guideline Standard Operating Procedures.

29. With regard to the creation of a peacekeeping information network, the Department of Peacekeeping Operations is facilitating the exchange between Member States of experts on peacekeeping operations through the work of its Training Unit. Through the Training Assistance Teams programme, the United Nations has trained 81 instructors in 52 countries, constituting regional and national pools that can be shared regionally or subregionally. The Training Unit also maintains a database through which permanent missions can identify points of contact within other Member States, including sources of training.

30. Standby arrangements are described in paragraphs 32 to 36 below, under the planning function.

C. Humanitarian and civil administration aspects of peacekeeping operations

31. Recommendations 9 to 12 of the final report on the start-up phase (E/AC.51/1995/2 and Corr.1), on early-warning activities, humanitarian assistance and emergency situations, were not endorsed by the Committee for Programme and Coordination, which concluded that they needed to be examined further by the relevant intergovernmental bodies.[7] The in-depth evaluation of the Department of Humanitarian Affairs (E/AC.51/1997/3), which contained findings and recommendations covering the same issues from a somewhat different perspective, was reviewed by the Committee in 1997.

D. Status of ready capacity to act: support functions

1. Planning

Recommendation 13, Planning guidelines. Peacekeeping planning guidelines should be elaborated and issued by the Secretariat. In addition to elements derived from Security Council and General Assembly resolutions, the planning guidelines should include general objectives for the development of specified standby arrangements and, by a given date, a rapid reaction capacity within the Secretariat.

Recommendation 14, Plan for rapid reaction capacity. The general objectives in the planning guidelines should be the basis of a Department of Peacekeeping Operations strategic plan aimed at developing a rapid reaction capacity, including related capacities for substantive components, within the Secretariat. This plan should be linked to standby arrangements as proposed in recommendation 8 above.

Recommendation 15, Standard planning method for the start-up phase. Standard planning procedures for the start-up phase should incorporate the results of a critical-path analysis of the processes involved.

32. The Mission Planning Service of the Department of Peacekeeping Operations consists of a Generic Planning Unit, responsible for the overall effectiveness and timeliness of the planning process; a Mission Development Unit, responsible for planning the preparation and execution of new or extended missions; and the Standby Arrangements Unit, responsible for management of standby arrangements, including the negotiation of agreements with Member States and the maintenance of a database of personnel, material and equipment, services, conditions of employment, strategic movement or shipment and response times. Information registered in this database has been used in the planning and deployment of several missions.

33. A report is submitted to the Security Council each year on progress made on standby arrangements; the most recent report (S/1997/1009) was submitted on 24 December 1997. As at 1 December 1997, 67 Member States had indicated willingness to provide standby resources, totalling, *inter alia*, some 88,000 personnel. This total includes elements of different sizes, varying from infantry battalions to individual military observers, and covers the whole range of components envisaged for peacekeeping operations. As at the end of 1997, 13 Member States had formalized their standby contributions through memoranda of understanding.

34. Less than half of the confirmed standby resources have a response time of under 30 days. In the interest of reducing the time needed to respond to a crisis, great importance is attached to the development, by a group of States from four continents, led by Denmark, of the Multinational United Nations Standby Forces High-Readiness Brigade (SHIRBRIG). This is a formation of up to 5,000 troops, which can be tailored to a given task and may be deployed for up to six months. Once it becomes fully operational, in 1999, it will be capable of deploying in under 30 days. All the forces that SHIRBRIG can draw from will be pledged to the standby arrangements system.

35. The Secretariat is continuing to explore with Member States suitable arrangements for the establishment of a rapidly deployable mission headquarters.

36. A Survey Mission Handbook has been prepared and is now in use. A critical path study of the start-up phase has been completed in narrative.

2. Financing and staffing

Recommendation 16, Analytical system for budgeting peacekeeping operations. The prototype of the analytical peacekeeping budgeting system described in paragraph 60 [of the evaluation report, involving standard cost parameters, a database containing financial and management information and ratios based on previous missions, and a standardized framework of policies and procedures] should be developed and tested by the end of 1995 under the responsibility of the Office of Programme Planning, Budget and Accounts, with the assistance of the Department of Peacekeeping Operations.

37. A Standard Cost Manual for Peacekeeping Operations has been in use since January 1994; the third revision was made available to Member States in November 1997. The Manual provides technical specifications and unit prices for budgeting and financial management of military and civilian personnel, travel, premises and accommodation, transport, air and naval operations, communications and other equipment, supplies and services and public information programmes. In the forward to the Manual, it is stated that revisions to the rates are planned every 12 months; however, many of the sources and effective dates in the Manual are from 1995. Some work has progressed on developing standard ratios or percentages for an analytical budgeting system but as yet no prototype has been tested.

38. The Peacekeeping Database contains structured financial and personnel information on resource planning, which includes the Standard Cost Manual; financial management, including allotment preparation, purchase orders, pre-encumbrance and obligation review; claims management; contingent-owned equipment; applications management, including databases of external inquiries and potential candidates, which are reviewed through a filtering process that matches functional criteria for posts with individuals; staffing, including databases on staffing tables and vacancies; travel, linked to claims management; and troop strength, which supports the calculation of monthly reimbursements.

> *Recommendation 17. Security of personnel.* All peacekeeping technical survey missions should include an expert on security to make recommendations on security requirements. All mission plans and budgets should include provisions for security requirements. All civilian personnel should receive appropriate security-related training.

39. The security of United Nations peacekeeping personnel is the responsibility of the Department of Peacekeeping Operations and that of all other United Nations personnel is the responsibility of the Office of the United Nations Security Coordinator in the Department of Management. The Department of Peacekeeping Operations and the Office of the United Nations Security Coordinator collaborate in addressing security issues in those areas where peacekeeping operations are deployed. The Department has a designated focal point for security who works with the Office in addressing security-related policy matters of mutual concern. The Office is involved in the planning of peacekeeping operations, in particular those that will be established in areas where United Nations agency personnel are deployed, including participation in reconnaissance missions to the field.

40. The budgets of peacekeeping operations include a special line item to reflect the personnel and material requirements necessary to meet security needs. In addition, the Department of Peacekeeping Operations has fielded several missions with the Office of the United Nations Security Coordinator to review particular security problems of mutual concern and to develop recommendations to address them.

41. Headquarters briefings of chief administrative officers include a full day with the Office of the United Nations Security Coordinator. In addition, the Office provides training to all mission staff through the Department's mission readiness seminars. The recent hostage management training seminar included participants serving in peacekeeping operations.

3. Logistics and procurement

> *Recommendation 18. Standard operating procedures for logistics and procurement.* The field administration manual, the operational support manual and the procurement manual should be revised to incorporate the consolidated recommendations of the Logistics Working Group and the High-level Group of Experts on Procurement. These revised manuals should be issued by the end of 1995.
>
> *Recommendation 19. Office of Internal Oversight Services review of compliance in logistics and procurement.* The reports of the Office of Internal Oversight Services on compliance with the recommendations of the present report, such as the triennial review to the Committee for Programme and Coordination, should include reviews of compliance with each of the consolidated recommendations of the Logistics Working Group and the High-level Group of Experts on Procurement.

42. The Peacekeeping Database includes the following structured information on logistics and operational management: letters of assist; vehicle registration; asset registrations; and casualty and incident registration, including medical details.

43. The field administration manual and the operational support manual are still in progress. In the interim, the 1974 Field Administration Handbook, although partly obsolete, is still in use. However, the provisional versions of the new manuals, as well as of other existing manuals on the administrative support of peacekeeping operations, have been made available to field missions through the Peacekeeping Database. The new procurement manual will include sections on procurement policy and procedures and,

to a limited extent, standard operating procedures. As at the end of 1997, however, the new procurement manual was still in a draft stage.

44. The status of the implementation of the recommendations of the High-level Group of Experts on Procurement was described in two reports of the Secretary-General (A/C.5/51/9 and A/52/534 and Corr.1). An audit review was conducted by the Office of Internal Oversight Services in 1997 on the status of the implementation of the recommendations made by the High-level Group of Experts on Procurement. The review showed that the procurement reform process was well under way. The Procurement Division was reorganized, procurement guidelines were in the process of finalization and delegated procurement thresholds have been adjusted. Management information systems had the capability of producing all necessary management reports and could be further enhanced once databases were complete. The Procurement Division could rely on staff who were qualified for their assigned tasks. However, the audit concluded that additional efforts were needed to further strengthen the overall procurement process. Areas of concern included the training and experience of field mission procurement officers, the procurement manual, procurement planning and the quality of the vendor roster. A report on this audit to the General Assembly (A/52/813) contains a summary of the status of implementation for each recommendation of the Expert Group, as required by recommendation 19 above.

4. Training

Recommendation 20, Training guidelines. Training guidelines should be elaborated and issued by the Secretariat. The guidelines should specify the minimal level of training to be provided for both military and civilian personnel from the Secretariat and from cooperating intergovernmental bodies, non-governmental organizations and other organizations contributing personnel to United Nations peacekeeping operations.

Recommendation 21, Training plan. A peacekeeping training plan, covering a period of two years, updated every year on a rolling basis, should be prepared to give a composite picture of training needs and planned responses to meet those needs by the Secretariat, national Governments and training institutions and non-governmental organizations. This plan should be prepared jointly by the Training Service, Office of Human Resources Management, and the Training Unit, Department of Peacekeeping Operations, and should serve as a basis for integrating the efforts of all the training partners. The peacekeeping training plan should be submitted to the Special Committee on Peacekeeping Operations.

45. At its thirty-fifth session, the Committee for Programme and Coordination endorsed recommendations 20 and 21 insofar as the training guidelines and the peacekeeping training plan were to be drawn up by the Secretariat for military and civilian personnel from the Secretariat. The Committee was of the view that the need for the Secretariat to draw up similar guidelines in respect of personnel contributed by cooperating intergovernmental bodies, non-governmental organizations and other organizations contributing personnel to United Nations peacekeeping operations required further examination by the Special Committee on Peacekeeping Operations".[8] The Special Committee on Peacekeeping Operations has been briefed annually on the training activities described below.

46. The role of the Training Unit within the Department of Peacekeeping Operations is to assist Member States in the preparation of personnel and units for United Nations peacekeeping operations. The Unit has now conducted all four planned regional training workshops. United Nations Training Assistance Teams have provided training in Haiti and Angola and have assisted in the development of training centres and the preparation of personnel in several countries.

47. Over 20 training publications have been produced by the Training Unit as contributions to the preparation of individual military and civilian police peacekeepers as well as units for peacekeeping missions. These publications are designed to provide:

(a) General guidance and policy for peacekeeping;

(b) Specific standards for the selection and training of individuals;

(c) Guidance for the preparation of staff officers and soldiers;

(d) Handbooks to provide assistance to individuals in the field;

(e) Principles of conduct for individuals;

(f) Health-related materials.

48. The training plan developed by the Unit is designed to meet this assistance and coordinating role rather than to dictate training, which clearly remains the responsibility of Member States. Because of budget and personnel constraints, the annual training plan has concentrated on the provision of expert assistance, the development of United Nations Training Assistance Teams, the training of trainers

and the provision of supporting material. The efforts are supplemented by the following:

(a) Support to Member States;

(b) A training database, developed as part of the peacekeeping information network, which provides detailed information on national training programmes, their availability and points of contact;

(c) Coordination of training with other departments and organizations such as the Office of Human Resources Management, UNHCR, the Office of the United Nations High Commissioner for Human Rights, the Centre for International Crime Prevention and the United Nations Children's Fund.

III. Recommendations

49. *Recommendation 1, Resource Centre of the Department of Peacekeeping Operations.* An archive should be created in the Resource Centre of the Department of Peacekeeping Operations containing all mission-specific standard operating procedures and related materials. The archive should be organized by major substantive and support tasks, including monitoring ceasefires and buffer zones, protecting humanitarian convoys, disarming and demobilizing ex-combatants, reforming military establishments, defining and establishing police forces, organizing or monitoring elections, monitoring human rights, promoting electoral and judicial reform, promoting aspects of civil administration and coordinating economic rehabilitation. These holdings should be indexed and made available to missions on a Department intranet site by 30 September 1998. The regular updating of this archive, and the encouragement of its use by field missions, should be considered a priority of the Department since it is the core of its institutional memory of practical experience in peacekeeping. Further development of the holdings and capacities of the Resource Centre should be primarily determined by the needs of field missions and other official users as indicated by their requests for information.

50. *Recommendation 2, Designation of responsibility centres.* The Secretary-General should, by 30 September 1998, designate responsibility centres, with the functions listed in annex II to the progress report (E/AC.51/1994/3 and Corr.1), for the development of a ready capacity to act for all major substantive and support tasks in peacekeeping operations. Such designations do not imply that the Department of Peacekeeping Operations has responsibility for any functions beyond those in its mandate. Revised Secretary-General's bulletins for the Department of Peacekeeping Operations and for all other affected departments and offices should reflect the functions implied by these designations.

51. *Recommendation 3, Translating the lessons of experience into practice.* For each of the major substantive tasks of peacekeeping missions, the Lessons Learned Unit, together with the responsibility centre associated with the component or task, should (a) review the relevant mission standard operating procedures and related material, Department of Peacekeeping Operations handbooks, manuals and training materials, end-of-mission assessments and lessons learned documents, and derive from them policies and procedures for these tasks, or modify existing policies and procedures; (b) submit a report on these activities to the Special Committee on Peacekeeping Operations at its session in 1999.

52. *Recommendation 4, Information component.* (a) The Department of Peacekeeping Operations and the Department of Public Information should engage in an active search for appropriate candidates to place on the roster of potential public information personnel for mission assignment; the roster should be systematically updated. (b) The Department of Peacekeeping Operations and the Department of Public Information should continue to develop standards for the public information component of peacekeeping operations. The standards already agreed on should be put into practice in the execution of information strategies of current and future missions. (c) The Department of Public Information should be involved from the outset in planning the information component of new or expanded missions; an information expert should participate in all technical survey or reconnaissance missions. (d) Start-up kits for the information component should be developed. (e) All Department of Peacekeeping Operations field operations should be linked to one another and to Headquarters, including the Department's Resource Centre, through a Department intranet site, by 30 September 1998.

53. *Recommendation 5, Military component.* The Guideline Standard Operating Procedures for Peacekeeping Operations should be updated by the end of 1998.

54. *Recommendation 6, Analytical budgeting system for peacekeeping.* A prototype analytical budgeting system for peacekeeping should be tested by the end of 1998.

55. *Recommendation 7, Review of implementation.* A review of the implementation of the above recommendations should be included in the triennial review of the in-depth evaluation of the termination phase of peacekeeping

operations, to be submitted to the Committee for Programme and Coordination at its thirty-ninth session, in 1999.

(*Signed*) Karl Th. **Paschke**
Under-Secretary-General
for Internal Oversight Services

Notes

[1] *Official Records of the General Assembly, Forty-eighth Session, Supplement No. 16* (A/48/16), part one, para. 35.

[2] Ibid., *Forty-ninth Session, Supplement No. 16* (A/49/16), part one, para. 25 (a).

[3] Ibid., *Fifty-first Session, Supplement No. 16* (A/51/16), part one, para. 92.

[4] Ibid., *Fifty-second Session, Supplement No. 6* (A/52/6/Rev.1), para. 3.9.

[5] Ibid., *Fiftieth Session, Supplement No. 16* (A/50/16), para. 261 (d).

[6] Ibid., para. 266.

[7] Ibid., para. 264.

[8] Ibid., para. 265.